

AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA Santa Cruz	DIVISION Coastal	NUMBER 720
EVALUATED BY B. Bradshaw		DATE 09/08/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE 09/30/2009	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Correction Report BY <u> </u>	COMMANDER'S REVIEW  DATE <u>10-2-09</u>

1. CLERICAL TASKS

	EVALUATED X	ACTION REQUIRED	CORRECTED
a. Is the office well organized?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(1) Are there written job descriptions?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(a) Does clerical staff have their job description at their desk?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(b) Does clerical staff understand what is expected of them?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(2) Are similar activities grouped together to promote efficiency?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(3) If tape recorders are used, can clerical employees transcribe effectively?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(5) Can another clerical employee assume the duties of a clerical employee who is absent?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
b. Is the Office Services Supervisor (OSS) effective?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(1) Does he/she properly apply management philosophies and supervisory skills?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(b) Is the clerical supervisor an effective manager?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(2) Does the OSS identify employees with supervisory potential?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(a) Does he/she assist employees in the preparation of written plans for progressive career development?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Does the supervisor set a good example?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(a) Does he/she show a willingness to assist subordinate personnel?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(4) If there is more than one OSS, is the work and supervision evenly distributed?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
(5) Does the OSS participate in Area staff meetings?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

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	EVALUATED	ACTION REQUIRED	CORRECTED
2. FILING SYSTEM	X		
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? Four years plus current year.			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? Memorandums are filed as 'Correspondence' and purged every two years.			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? Located in a binder labeled 'Information Bulletins' by date / year.			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? Quarterly			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	X		
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	X		
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? Cash is counted at the end of each work day by two people. After both count, the money and both names are written on the cash envelope. Cash is placed in a locked box at close of the work day.		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?

☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?

☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? A suspense item for monies transmittal is issued weekly.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?

☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?

☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate?

☒ Yes ☐ No

(4) Do tire sale transactions comply with policy?

☒ Yes ☐ No

c. Is security of the postage machine adequate?

☒ Yes ☐ No

(1) Is the machine locked when not in use?

☒ Yes ☐ No

(2) Is the meter reading documented as required?

☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?

☒ Yes ☐ No**5. SUPPLY REQUISITIONS (CHP 41)**

EVALUATED

X

ACTION REQUIRED

CORRECTED

a. Are requisitions prepared properly?

☒ Yes ☐ No

(1) Who prepares them? OSS1 - Trevor Wilson #A11425

(2) Has a practical stock level been established and maintained?

☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?

☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to?

☒ Yes ☐ No

(b) Is there a high number of emergency requisitions?

☐ Yes ☒ No

b. Are items stored properly in a storeroom?

☒ Yes ☐ No

(1) Is there convenient access for regularly used items?

☒ Yes ☐ No

(2) Have obsolete items been removed?

☒ Yes ☐ No**6. SUPPLIES**

EVALUATED

X

ACTION REQUIRED

CORRECTED

a. Are all cameras assigned to the command accounted for?

☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories?

☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual?

☐ Yes ☒ No

(a) What is his/her preventative maintenance schedule? No current maintenance schedule has been identified. Due to primarily using digital cameras, the Area has not identified a need for a camera preventative maintenance schedule.

b. Are all extenders assigned to the command accounted for?

☒ Yes ☐ No

(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED

X

ACTION REQUIRED

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? All clerical staff is trained to use office equipment.

(2) How is training provided, and by whom? The OSS1 (Trevor Wilson) provides training to the clerical staff.

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☒ Yes ☐ No

(7) What system is used to ensure proper routing of MIS information? Commander approval is required for sending an MIS.

c. Are personal computers used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? All staff.

(2) How is training provided, and by whom? The clerical staff is trained by the OSS1 and the officers are trained by their respective training officers during initial Field Training and Evaluation Program (FTEP) training.

(a) How many employees are trained in its use? All staff - 64 employees total.

(3) Are there restrictions on the time its used?

☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☐ Yes ☒ No

(a) If so, is the PC password protected?

☒ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☒ Yes ☐ No

(5) What is the PC being used for? All office functions. Every uniformed officer has an assigned laptop computer. Every uniformed special duty officer, sergeant, lieutenant and captain has an assigned desktop computer. Every member of the clerical staff has an assigned desktop computer. Several desktop computers are available for all staff use. All use the computers for daily tasks.

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

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(7) Are backup procedures being performed on a regular basis?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Where applicable, are backup disks stored in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(8) Are PC manuals and other documentation available to all users?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(9) What procedures are in place to ensure out-of-date documents and files are purged? E-mail system automatically purges based on date. No other procedure to purge files in place.		

(10) Are employees aware of the availability of assistance in resolving computer related problems?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(11) Is anti-virus software regularly utilized on all state-owned PCs?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

8. PUBLIC CONTACTS	EVALUATED X	ACTION REQUIRED	CORRECTED
a. Does the office have extended office hours?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(1) If so, are they adequate and effective?			<input type="checkbox"/> Yes <input type="checkbox"/> No
b. Are persons served promptly and courteously?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are backup personnel immediately available?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is telephone service both efficient and effective?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Are limited duty personnel used for receptionist duties and answering telephones?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are officer substitutions for nonuniformed positions kept at a minimum?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

9. SCHOOL BUS DRIVER EXAMINATIONS	EVALUATED X	ACTION REQUIRED	CORRECTED
a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? Special Duty function.			
(1) Are tests and test keys kept in a secure place?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) How are interested parties advised of testing procedures? The school bus officer explains the testing procedures during the initial interview.			
(a) Are exams graded in the presence of the applicant, and missed questions discussed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Does the officer or coordinator take possession of the test and dispose of accordingly?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) How are test disposed of? After grading, the results are documented / recorded and the original test is immediatly shredded.			
(4) Is there a specific date and time set aside for testing?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

10. COURT INFORMATION PROCEDURES	EVALUATED X	ACTION REQUIRED	CORRECTED
a. Is there a systematic method of coordinating court appearance matters?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

(1) What controls are in place to ensure officers appear in court? Subpoenas are issued to the officers, signed and returned that they have been received. A subpoena log is posted daily for court appearances.

(a) How are appearances minimized following cancellations? The subpoena log of court appearances is updated and posted daily. If a cancellation is received by the office and the officer is on a day off, the clerical staff will telephone the officer's residence to notify of the cancellation.

(b) How are "short notice" cancellations minimized? The clerical staff will telephone the officer's residence to notify of the cancellation.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? OSS1 (Trevor Wilson)

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED

X

ACTION REQUIRED

CORRECTED

a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? Any employee needing to "borrow" a manual needs to contact the OSS1 (Trevor Wilson) and he will place a suspense card in the location of the "loaned" manual. The suspense card will document who has the manual, the date borrowed, and the date it is expected to be returned.

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient.

(b) Is there a listing available of what should be in each library? ☐ Yes ☒ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? OSS1 or his designee.

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Page 1 of 2

Command: Santa Cruz	Division: Coastal	Chapter: 5
Inspected by: B. Bradshaw		Date: 09/08/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 3.0	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to:		
	Due Date:		
Chapter Inspection: Area Management Evaluation : Office Management			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:

Inspector's Findings:

Section #1, Clerical Tasks: a (3) - Santa Cruz Area does not have any employees trained to transcribe recordings.

Section #1. Clerical Tasks: b (2) (a)(c) – To date, Area's OSS1 has not assisted in the preparation of a CHP 120 due to subordinates' decline of offer.

Section #4, Fiscal Procedures: a (4) (c) - Santa Cruz area does not utilize the CHP 315X as the form has been discontinued.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

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Command: Santa Cruz	Division: Coastal	Chapter: 5
Inspected by: B. Bradshaw		Date: 09/08/2009

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

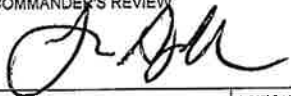
Required Action

Corrective Action Plan/Timeline

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 10-2-09
	INSPECTOR'S SIGNATURE 	DATE 09/28/09
<input checked="" type="checkbox"/> Reviewer discussed this report with employee <input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE 10/2/09

AREA Santa Barbara	DIVISION Coastal	NUMBER
EVALUATED BY Sgt. Bradley Prows #10975		DATE 09/28/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		COMMANDER'S REVIEW 	DATE 9/29/09
BY _____		EVALUATED 9-28-09	ACTION REQUIRED None

1. CLERICAL TASKS

a. Is the office well organized?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are there written job descriptions?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does clerical staff have their job description at their desk?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Does clerical staff understand what is expected of them?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Are similar activities grouped together to promote efficiency?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) If tape recorders are used, can clerical employees transcribe effectively?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Can another clerical employee assume the duties of a clerical employee who is absent?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Is the Office Services Supervisor (OSS) effective?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Does he/she properly apply management philosophies and supervisory skills?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Is the clerical supervisor an effective manager?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does the OSS identify employees with supervisory potential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she assist employees in the preparation of written plans for progressive career development?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Does the supervisor set a good example?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she show a willingness to assist subordinate personnel?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) If there is more than one OSS, is the work and supervision evenly distributed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
(5) Does the OSS participate in Area staff meetings?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

*OSS ATTENDS WHEN SHE HAS ITEMS FOR THE AGENDA.
OTHERWISE, SHE ROUTES INFORMATION FOR THE MEETING THROUGH
THE CAPTAIN/LIEUTENANT*

Destroy Previous Editions

STATE OF CALIFORNIA
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	EVALUATED	ACTION REQUIRED	CORRECTED
2. FILING SYSTEM	9-28-09	None	
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? 4 years plus current			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? Central Library / shredded			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? Binders - Central Library and Briefing room bulletin board			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? TWICE PER WEEK			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	9-28-09	None	
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	9-28-09	None	
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Destroy Previous Editions

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(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? Review and signature on daily transmittal envelope		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. What controls does the commander have in place to ensure timely transmittals of monies? Review by a manager or supervisor		
(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are "no collection" transmittals sent when appropriate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Do tire sale transactions comply with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
c. Is security of the postage machine adequate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the machine locked when not in use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is the meter reading documented as required?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
5. SUPPLY REQUISITIONS (CHP 41)	EVALUATED 09/28/09	ACTION REQUIRED None
a. Are requisitions prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who prepares them? Office Assistant		
(2) Has a practical stock level been established and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the quarterly requisition period for this command adhered to?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is there a high number of emergency requisitions?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b. Are items stored properly in a storeroom?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is there convenient access for regularly used items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Have obsolete items been removed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
6. SUPPLIES	EVALUATED 09/28/09	ACTION REQUIRED None
a. Are all cameras assigned to the command accounted for?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Are camera cases clean and do they contain the required accessories?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is camera maintenance assigned to a particular individual?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) What is his/her preventative maintenance schedule? Periodic check of the camera operating system to ensure the equipment is working properly.		
b. Are all extenders assigned to the command accounted for?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(1) Is there adequate security for extender batteries and other supplies?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
7. OFFICE EQUIPMENT	EVALUATED 09-28-09	ACTION REQUIRED None	CORRECTED
a. Are office machines in good condition and properly maintained?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Who is authorized to use the equipment? Uniformed and nonuniformed employees with proper CLETS training.			
(2) How is training provided, and by whom? CLETS instructors from Coastal Division are utilized to provide instruction.			
(3) Is there a usage schedule for uniformed and nonuniformed personnel?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information? Supervisors utilize on line access and route or brief as necessary			
c. Are personal computers used properly?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Who is authorized to use the equipment? Each officer is issued a laptop computer. Each computer is encrypted, personal computers are not used frequently due to the encryption.			
(2) How is training provided, and by whom? Area has a LAN / MDC coordinator who provides instruction as necessary.			
(a) How many employees are trained in its use? 42			
(3) Are there restrictions on the time its used?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(a) If so, is the PC password protected?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) What is the PC being used for? MDC applications as well as report writing.			
(6) Are controls present to prevent inappropriate/personal use of the computer?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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(7) Are backup procedures being performed on a regular basis?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Where applicable, are backup disks stored in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(8) Are PC manuals and other documentation available to all users?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(9) What procedures are in place to ensure out-of-date documents and files are purged? Automatically updated upon connecting to the LAN.		

(10) Are employees aware of the availability of assistance in resolving computer related problems?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(11) Is anti-virus software regularly utilized on all state-owned PCs?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

8. PUBLIC CONTACTS	EVALUATED 9-28-09	ACTION REQUIRED None	CORRECTED
a. Does the office have extended office hours?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(1) If so, are they adequate and effective?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
b. Are persons served promptly and courteously?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(1) Are backup personnel immediately available?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(2) Is telephone service both efficient and effective?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(3) Are limited duty personnel used for receptionist duties and answering telephones?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(4) Are officer substitutions for nonuniformed positions kept at a minimum?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		

9. SCHOOL BUS DRIVER EXAMINATIONS	EVALUATED 9-28-09	ACTION REQUIRED None	CORRECTED
a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? School Bus officer is a part time position performed by a field officer.			
(1) Are tests and test keys kept in a secure place?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(2) How are interested parties advised of testing procedures? Information is provided on test dates and times and messages are left for the School Bus officer for him to return.			
(a) Are exams graded in the presence of the applicant, and missed questions discussed?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(b) Does the officer or coordinator take possession of the test and dispose of accordingly?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(3) How are test disposed of?			
(4) Is there a specific date and time set aside for testing?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		

10. COURT INFORMATION PROCEDURES	EVALUATED 9-28-09	ACTION REQUIRED None	CORRECTED
a. Is there a systematic method of coordinating court appearance matters?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		

(1) What controls are in place to ensure officers appear in court? Subpoenas are tracked and court dates are marked on the master schedule. Absences are reported by the court and dealt with at the Area office.

(a) How are appearances minimized following cancellations? Short notice cancellations are handled telephonically.

(b) How are "short notice" cancellations minimized? Local court has procedures in place minimizing short notice cancellations to the point that it is not a local issue.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? Office Assistant

(a) Are court officers performing duties that could be handled by clerical personnel? ☒ Yes ☐ No

11. DEPARTMENTAL MANUALS	EVALUATED 9-28-09	ACTION REQUIRED None	CORRECTED
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a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? Manuals are loaned out infrequently and for short durations in time.

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient


(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? Office Assistant or Senior Volunteer

AREA Ventura Area 765	DIVISION Coastal Division	NUMBER 765-09-001
EVALUATED BY OSSI Hirsch / Sergeant Granieri, Jr.		DATE 07/21/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		CORRECTION REPORT <input type="checkbox"/> Correction Report BY _____	COMMANDER'S REVIEW  (JAMES) DATE 8/6/09

1. CLERICAL TASKS	EVALUATED <input checked="" type="checkbox"/>	ACTION REQUIRED	CORRECTED
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a. Is the office well organized?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are there written job descriptions?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does clerical staff have their job description at their desk?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Does clerical staff understand what is expected of them?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Are similar activities grouped together to promote efficiency?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) If tape recorders are used, can clerical employees transcribe effectively?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Can another clerical employee assume the duties of a clerical employee who is absent?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Is the Office Services Supervisor (OSS) effective?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Does he/she properly apply management philosophies and supervisory skills?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Is the clerical supervisor an effective manager?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does the OSS identify employees with supervisory potential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she assist employees in the preparation of written plans for progressive career development?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Does the supervisor set a good example?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she show a willingness to assist subordinate personnel?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) If there is more than one OSS, is the work and supervision evenly distributed?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>REFER TO CHP 454, #1</i> <i>N/A</i>
(5) Does the OSS participate in Area staff meetings?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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	EVALUATED	ACTION REQUIRED	CORRECTED
2. FILING SYSTEM	✓		
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? Four years in compliance with policy.			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? The Area's OSS1 is responsible for filing the documents in the Administrative File and purging them in accordance with Department time frames.			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? The documents are maintained in a binder in the Command Library.			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? Annually by a supervisor.			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	✓		
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	✓		
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? Collections and funds are locked and secured overnight and only trained clerical personnel handle this duty.		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X? <i>REFER TO CHP 454, #2</i>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. What controls does the commander have in place to ensure timely transmittals of monies? Transmittals are suspended, routed and dated each week.		
(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are "no collection" transmittals sent when appropriate? <i>REFER TO CHP 454, #3</i>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Do tire sale transactions comply with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
c. Is security of the postage machine adequate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the machine locked when not in use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is the meter reading documented as required?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? <i>REFER TO CHP 454, #4</i>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
5. SUPPLY REQUISITIONS (CHP 41)	EVALUATED <input checked="" type="checkbox"/>	ACTION REQUIRED <input type="checkbox"/>
CORRECTED		
a. Are requisitions prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who prepares them? This duty is assigned to OSS1 Denise Hirsch.		
(2) Has a practical stock level been established and maintained?		
(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?		
(a) Is the quarterly requisition period for this command adhered to?		
(b) Is there a high number of emergency requisitions?		
b. Are items stored properly in a storeroom?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is there convenient access for regularly used items?		
(2) Have obsolete items been removed?		
6. SUPPLIES	EVALUATED <input checked="" type="checkbox"/>	ACTION REQUIRED <input type="checkbox"/>
CORRECTED		
a. Are all cameras assigned to the command accounted for?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Are camera cases clean and do they contain the required accessories?		
(2) Is camera maintenance assigned to a particular individual?		
(a) What is his/her preventative maintenance schedule? Supplies checked during inventory process and individuals who use equipment report defects.		
b. Are all extenders assigned to the command accounted for?		

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(1) Is there adequate security for extender batteries and other supplies?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
7. OFFICE EQUIPMENT	EVALUATED <input checked="" type="checkbox"/>	ACTION REQUIRED	CORRECTED
a. Are office machines in good condition and properly maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Is the vendor complying with maintenance contract provisions?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) Is there a shortage or surplus of machines?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b. Is the Management Information System (MIS) used properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Who is authorized to use the equipment? All clerical personnel.			
(2) How is training provided, and by whom? Certified instructors from the communications center during annual CLETS training and training received as new hires into the Department.			
(3) Is there a usage schedule for uniformed and nonuniformed personnel?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(4) Are there controls in place to ensure confidentiality?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(5) Are all personnel aware of how to request repairs after normal business hours?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(7) What system is used to ensure proper routing of MIS information? Clerical routes the information using mnemonics.			
c. Are personal computers used properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Who is authorized to use the equipment? All personnel.			
(2) How is training provided, and by whom? Assistance pertaining to computer systems is available from the Area's LAN Administrators.			
(a) How many employees are trained in its use? All personnel.			
(3) Are there restrictions on the time its used?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(a) Is there a schedule for uniformed and nonuniformed employees?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(4) Is confidential or sensitive information being stored on a PC hard drive?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(a) If so, is the PC password protected?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(5) What is the PC being used for? To perform departmental functions/tasks.			
(6) Are controls present to prevent inappropriate/personal use of the computer?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

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(7) Are backup procedures being performed on a regular basis?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Where applicable, are backup disks stored in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(8) Are PC manuals and other documentation available to all users?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(9) What procedures are in place to ensure out-of-date documents and files are purged? Users are advised to back-up and or delete files as necessary.		

(10) Are employees aware of the availability of assistance in resolving computer related problems?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(11) Is anti-virus software regularly utilized on all state-owned PCs?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

8. PUBLIC CONTACTS	EVALUATED <input checked="" type="checkbox"/>	ACTION REQUIRED	CORRECTED
a. Does the office have extended office hours?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) If so, are they adequate and effective?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
b. Are persons served promptly and courteously?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Are backup personnel immediately available?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) Is telephone service both efficient and effective?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(3) Are limited duty personnel used for receptionist duties and answering telephones?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(4) Are officer substitutions for nonuniformed positions kept at a minimum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

9. SCHOOL BUS DRIVER EXAMINATIONS	EVALUATED <input checked="" type="checkbox"/>	ACTION REQUIRED	CORRECTED
a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? This is a special duty function performed by an officer.			
(1) Are tests and test keys kept in a secure place?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) How are interested parties advised of testing procedures? Via personal contact with the Watch Officer and via District Trainer.			
(a) Are exams graded in the presence of the applicant, and missed questions discussed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(b) Does the officer or coordinator take possession of the test and dispose of accordingly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(3) How are test disposed of? Shredded.			

(4) Is there a specific date and time set aside for testing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
10. COURT INFORMATION PROCEDURES	EVALUATED <input checked="" type="checkbox"/>	ACTION REQUIRED	CORRECTED
a. Is there a systematic method of coordinating court appearance matters?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

(1) What controls are in place to ensure officers appear in court? Officers are served a subpoena that they in turn initial and date to acknowledge receipt. The subpoena is then placed into a log. Area supervisors receive notification of officers failing to appear in court through the Ventura County Justice Information System (VCJIS).

(a) How are appearances minimized following cancellations? Court case cancellations are monitored via the VCJIS and cancellation notifications are made immediately.

(b) How are "short notice" cancellations minimized? Same as above.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? Clerical personnel maintain a suspense.

(a) Are court officers performing duties that could be handled by clerical personnel? *REFER TO CHP 454, "5"* ☒ Yes ☐ No

11. DEPARTMENTAL MANUALS

EVALUATED ☒

ACTION REQUIRED

CORRECTED

a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? The Area maintains a log for manuals that are checked out of the command libraries.

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient, the Area maintains one command library.

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? OSS1 Denise Hirsch.

